

04-13-01

PTO SB 05 (11-00)

Please type a plus sign (+) in ☐ box → ☐

Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional application under 37 C.F.R. § 1.53(b))

Attorney Docket No.

B-1537

First Inventor or Application Identifier

Jeong et al

Title

Thermogelling Biodegradable Aqueous Polymer Solution

Express Mail Label No

EJ200815200US

jc961 U.S. PTO  
04/11/01

J1036 U.S. PTO  
09/833460  
04/11/01

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents		ADDRESS TO Assistant Commissioner for Patents Box Patent Application Washington, DC 20231	
1. <input checked="" type="checkbox"/> *Fee Transmittal Form (e.g., PTO SB 17) (Submit an original and a duplicate for fee processing)	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Program (Appendix)		
2. <input checked="" type="checkbox"/> Appellant claims small entity status	8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)		
3. <input checked="" type="checkbox"/> Specification [Total Pages: 43]	a. <input type="checkbox"/> Computer Readable Form (CRF)		
(preferred arrangement set forth below)	b. Specification Sequence Listing on:		
- Descriptive title of the invention	i. <input type="checkbox"/> CD-ROM or CD-R (2 copies), or		
- Cross Reference to Related Applications	ii. <input type="checkbox"/> paper		
- Statement Regarding Fed sponsored R & D	c. <input type="checkbox"/> Statements verifying identity of above copies		
- Reference to Microfiche Appendix			
- Background of the Invention			
- Brief Summary of the Invention			
- Brief Description of the Drawings (if filed)			
- Detailed Description			
- Claim(s)			
- Abstract of the Disclosure			
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets: 13]			
5. Oath or Declaration [Total Pages: 3]			
a. <input checked="" type="checkbox"/> Newly executed (original or copy)			
b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d))			
i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b)			
6. <input type="checkbox"/> Application Data Sheet - See 37 C.F.R. 1.76			
<b>ACCOMPANYING APPLICATION PARTS</b>			
9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))			
10. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement (when there is an assignee) <input type="checkbox"/> Power of Attorney			
11. <input type="checkbox"/> English Translation Document (if applicable)			
12. <input type="checkbox"/> Information Disclosure Statement (IDS) PTO-1449 <input type="checkbox"/> Copies of IDS Citations			
13. <input type="checkbox"/> Preliminary Amendment			
14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)			
15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)			
16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122(b)(2)(B)(i) Applicant must attach form PTO SB 35 or its equivalent			
17. <input type="checkbox"/> Other			
<b>18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:</b>			
<input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No. _____			
Prior application information - Examiner: _____ Group Art Unit: _____			
<b>For CONTINUATION or DIVISIONAL APPS only:</b> The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.			
<b>19. CORRESPONDENCE ADDRESS</b>			
<input type="checkbox"/> Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or <input checked="" type="checkbox"/> Correspondence address below			
Name	Stephen R. May		
Address	Intellectual Property Services, Battelle Memorial Institute, Pacific Northwest Division, P.O. Box 9909		
City	Richland	State	WA
Country	USA	Telephone	(509) 375-2387
		Fax	(509) 375-4387

<b>FEE TRANSMITTAL</b> <b>For FY 2001</b> Patent fees are subject to annual revision		<i>Complete If Known</i>	
		Application Number	not yet assigned
		Filing Date	herewith
		First Named Inventor	Jeong et al
		Examiner Name	not yet assigned
		Group/Art Unit	not yet assigned
		Attorney Docket No	B-1537
TOTAL AMOUNT OF PAYMENT		(\$) 534.00	

<b>METHOD OF PAYMENT</b> (check one) 1 <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to: Deposit Account Number: 02-1275 Deposit Account Name: Battelle Memorial Institute - PND <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17 <input checked="" type="checkbox"/> Applicant claims small entity status		<b>FEE CALCULATION</b> (continued)																																																																																																																																																																																																																																																									
<b>2</b> Payment Enclosed <input type="checkbox"/> check <input type="checkbox"/> Money Order <input type="checkbox"/> Other		<b>3. ADDITIONAL FEES</b> <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee</th> <th>Fee</th> <th>Fee</th> <th>Fee</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> <tr> <th>Code</th> <th>(\$)</th> <th>Code</th> <th>(\$)</th> <th></th> <th></th> <th></th> <th></th> </tr> </thead> <tbody> <tr> <td>105</td> <td>130</td> <td>205</td> <td>65</td> <td></td> <td></td> <td>Surcharge- late filing fee or oath</td> <td></td> </tr> <tr> <td>127</td> <td>50</td> <td>227</td> <td>25</td> <td></td> <td></td> <td>Surcharge- late provisional filing fee or cover sheet</td> <td></td> </tr> <tr> <td>139</td> <td>130</td> <td>139</td> <td>130</td> <td></td> <td></td> <td>Non-English specification</td> <td></td> </tr> <tr> <td>147</td> <td>2,520</td> <td>147</td> <td>2,520</td> <td></td> <td></td> <td>For filing a request for reexamination</td> <td></td> </tr> <tr> <td>112</td> <td>920*</td> <td>112</td> <td>920*</td> <td></td> <td></td> <td>Requesting publication of SIR prior to Examiner action</td> <td></td> </tr> <tr> <td>113</td> <td>1,840*</td> <td>113</td> <td>1,840*</td> <td></td> <td></td> <td>Requesting publication of SIR after Examiner action</td> <td></td> </tr> <tr> <td>115</td> <td>10</td> <td>215</td> <td>55</td> <td></td> <td></td> <td>Extension for reply within first month</td> <td></td> </tr> <tr> <td>116</td> <td>390</td> <td>216</td> <td>195</td> <td></td> <td></td> <td>Extension for reply within second month</td> <td></td> </tr> <tr> <td>117</td> <td>890</td> <td>217</td> <td>445</td> <td></td> <td></td> <td>Extension for reply within third month</td> <td></td> </tr> <tr> <td>118</td> <td>1,390</td> <td>218</td> <td>695</td> <td></td> <td></td> <td>Extension for reply within fourth month</td> <td></td> </tr> <tr> <td>128</td> <td>1,890</td> <td>228</td> <td>945</td> <td></td> <td></td> <td>Extension for reply within fifth month</td> <td></td> </tr> <tr> <td>119</td> <td>310</td> <td>219</td> <td>155</td> <td></td> <td></td> <td>Notice of Appeal</td> <td></td> </tr> <tr> <td>120</td> <td>310</td> <td>220</td> <td>155</td> <td></td> <td></td> <td>Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>12</td> <td>270</td> <td>221</td> <td>135</td> <td></td> <td></td> <td>Requesting for oral hearing</td> <td></td> </tr> <tr> <td>138</td> <td>1,510</td> <td>138</td> <td>1,510</td> <td></td> <td></td> <td>Petition to institute a public use proceeding</td> <td></td> </tr> <tr> <td>140</td> <td>10</td> <td>240</td> <td>55</td> <td></td> <td></td> <td>Petition to revise unintentional</td> <td></td> </tr> <tr> <td>141</td> <td>1,240</td> <td>241</td> <td>620</td> <td></td> <td></td> <td>Petition to revise unintentional</td> <td></td> </tr> <tr> <td>142</td> <td>1,240</td> <td>242</td> <td>620</td> <td></td> <td></td> <td>Utility issue fee (for reissue)</td> <td></td> </tr> <tr> <td>143</td> <td>440</td> <td>243</td> <td>220</td> <td></td> <td></td> <td>Design issue fee</td> <td></td> </tr> <tr> <td>144</td> <td>600</td> <td>224</td> <td>300</td> <td></td> <td></td> <td>Plant issue fee</td> <td></td> </tr> <tr> <td>122</td> <td>130</td> <td>122</td> <td>130</td> <td></td> <td></td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>123</td> <td>50</td> <td>123</td> <td>50</td> <td></td> <td></td> <td>Petitions related to provisional applications</td> <td></td> </tr> <tr> <td>126</td> <td>240</td> <td>126</td> <td>240</td> <td></td> <td></td> <td>Submission of Information Disclosure Stmt</td> <td></td> </tr> <tr> <td>581</td> <td>40</td> <td>581</td> <td>40</td> <td></td> <td></td> <td>Recording each patent assignment per property (times number of properties)</td> <td></td> </tr> <tr> <td>146</td> <td>710</td> <td>246</td> <td>355</td> <td></td> <td></td> <td>Filing a submission after final rejection (37 CFR 1.112)(a)</td> <td></td> </tr> <tr> <td>149</td> <td>11</td> <td>249</td> <td>355</td> <td></td> <td></td> <td>For each additional submission to be examined (37 CFR 1.120)(a)</td> <td></td> </tr> <tr> <td>150</td> <td>270</td> <td>250</td> <td>135</td> <td></td> <td></td> <td>Request for Continued Examination (RCE)</td> <td></td> </tr> <tr> <td colspan="4">Other fee (specify):</td> <td colspan="4"></td> </tr> <tr> <td colspan="4">Reduced by Basic Filing Fee Paid</td> <td colspan="4">SUBTOTAL (1) (\$)</td> </tr> </tbody> </table>		Large Entity	Small Entity	Fee	Fee	Fee	Fee	Fee Description	Fee Paid	Code	(\$)	Code	(\$)					105	130	205	65			Surcharge- late filing fee or oath		127	50	227	25			Surcharge- late provisional filing fee or cover sheet		139	130	139	130			Non-English specification		147	2,520	147	2,520			For filing a request for reexamination		112	920*	112	920*			Requesting publication of SIR prior to Examiner action		113	1,840*	113	1,840*			Requesting publication of SIR after Examiner action		115	10	215	55			Extension for reply within first month		116	390	216	195			Extension for reply within second month		117	890	217	445			Extension for reply within third month		118	1,390	218	695			Extension for reply within fourth month		128	1,890	228	945			Extension for reply within fifth month		119	310	219	155			Notice of Appeal		120	310	220	155			Filing a brief in support of an appeal		12	270	221	135			Requesting for oral hearing		138	1,510	138	1,510			Petition to institute a public use proceeding		140	10	240	55			Petition to revise unintentional		141	1,240	241	620			Petition to revise unintentional		142	1,240	242	620			Utility issue fee (for reissue)		143	440	243	220			Design issue fee		144	600	224	300			Plant issue fee		122	130	122	130			Petitions to the Commissioner		123	50	123	50			Petitions related to provisional applications		126	240	126	240			Submission of Information Disclosure Stmt		581	40	581	40			Recording each patent assignment per property (times number of properties)		146	710	246	355			Filing a submission after final rejection (37 CFR 1.112)(a)		149	11	249	355			For each additional submission to be examined (37 CFR 1.120)(a)		150	270	250	135			Request for Continued Examination (RCE)		Other fee (specify):								Reduced by Basic Filing Fee Paid				SUBTOTAL (1) (\$)			
Large Entity	Small Entity	Fee	Fee	Fee	Fee	Fee Description	Fee Paid																																																																																																																																																																																																																																																				
Code	(\$)	Code	(\$)																																																																																																																																																																																																																																																								
105	130	205	65			Surcharge- late filing fee or oath																																																																																																																																																																																																																																																					
127	50	227	25			Surcharge- late provisional filing fee or cover sheet																																																																																																																																																																																																																																																					
139	130	139	130			Non-English specification																																																																																																																																																																																																																																																					
147	2,520	147	2,520			For filing a request for reexamination																																																																																																																																																																																																																																																					
112	920*	112	920*			Requesting publication of SIR prior to Examiner action																																																																																																																																																																																																																																																					
113	1,840*	113	1,840*			Requesting publication of SIR after Examiner action																																																																																																																																																																																																																																																					
115	10	215	55			Extension for reply within first month																																																																																																																																																																																																																																																					
116	390	216	195			Extension for reply within second month																																																																																																																																																																																																																																																					
117	890	217	445			Extension for reply within third month																																																																																																																																																																																																																																																					
118	1,390	218	695			Extension for reply within fourth month																																																																																																																																																																																																																																																					
128	1,890	228	945			Extension for reply within fifth month																																																																																																																																																																																																																																																					
119	310	219	155			Notice of Appeal																																																																																																																																																																																																																																																					
120	310	220	155			Filing a brief in support of an appeal																																																																																																																																																																																																																																																					
12	270	221	135			Requesting for oral hearing																																																																																																																																																																																																																																																					
138	1,510	138	1,510			Petition to institute a public use proceeding																																																																																																																																																																																																																																																					
140	10	240	55			Petition to revise unintentional																																																																																																																																																																																																																																																					
141	1,240	241	620			Petition to revise unintentional																																																																																																																																																																																																																																																					
142	1,240	242	620			Utility issue fee (for reissue)																																																																																																																																																																																																																																																					
143	440	243	220			Design issue fee																																																																																																																																																																																																																																																					
144	600	224	300			Plant issue fee																																																																																																																																																																																																																																																					
122	130	122	130			Petitions to the Commissioner																																																																																																																																																																																																																																																					
123	50	123	50			Petitions related to provisional applications																																																																																																																																																																																																																																																					
126	240	126	240			Submission of Information Disclosure Stmt																																																																																																																																																																																																																																																					
581	40	581	40			Recording each patent assignment per property (times number of properties)																																																																																																																																																																																																																																																					
146	710	246	355			Filing a submission after final rejection (37 CFR 1.112)(a)																																																																																																																																																																																																																																																					
149	11	249	355			For each additional submission to be examined (37 CFR 1.120)(a)																																																																																																																																																																																																																																																					
150	270	250	135			Request for Continued Examination (RCE)																																																																																																																																																																																																																																																					
Other fee (specify):																																																																																																																																																																																																																																																											
Reduced by Basic Filing Fee Paid				SUBTOTAL (1) (\$)																																																																																																																																																																																																																																																							
<b>1. BASIC FILING FEE</b> <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee</th> <th>Fee</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> <tr> <th>Code</th> <th>(\$)</th> <th>Code</th> <th>(\$)</th> <th></th> <th></th> </tr> </thead> <tbody> <tr> <td>101</td> <td>710</td> <td>201</td> <td>355</td> <td>Utility filing fee</td> <td>355</td> </tr> <tr> <td>106</td> <td>320</td> <td>206</td> <td>160</td> <td>Designing filing fee</td> <td></td> </tr> <tr> <td>107</td> <td>490</td> <td>207</td> <td>245</td> <td>Plant filing fee</td> <td></td> </tr> <tr> <td>108</td> <td>710</td> <td>208</td> <td>355</td> <td>Reissue filing fee</td> <td></td> </tr> <tr> <td>114</td> <td>150</td> <td>214</td> <td>75</td> <td>Provisional filing fee</td> <td></td> </tr> <tr> <td colspan="5">SUBTOTAL (1)</td> <td>(\$) 355</td> </tr> </tbody> </table>		Large Entity	Small Entity	Fee	Fee	Fee Description	Fee Paid	Code	(\$)	Code	(\$)			101	710	201	355	Utility filing fee	355	106	320	206	160	Designing filing fee		107	490	207	245	Plant filing fee		108	710	208	355	Reissue filing fee		114	150	214	75	Provisional filing fee		SUBTOTAL (1)					(\$) 355	<b>2. EXTRA CLAIM FEES</b> <table border="1"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee form below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>31</td> <td>20**</td> <td>11</td> <td>99</td> </tr> <tr> <td>Independent Claims</td> <td>5</td> <td>2</td> <td>80</td> </tr> <tr> <td>Multiple Dependent</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>**or number previously paid, if greater. For Reissues, see below</p> <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee</th> <th>Fee</th> <th>Fee Description</th> </tr> <tr> <th>Code</th> <th>(\$)</th> <th>Code</th> <th>(\$)</th> <th></th> </tr> </thead> <tbody> <tr> <td>103</td> <td>48</td> <td>203</td> <td>9</td> <td>Claims in excess of 20</td> </tr> <tr> <td>102</td> <td>8</td> <td>202</td> <td>4</td> <td>Independent claims in excess of 5</td> </tr> <tr> <td>104</td> <td>270</td> <td>204</td> <td>135</td> <td>Multiple dependent claim, if not paid</td> </tr> <tr> <td>105</td> <td>8</td> <td>205</td> <td>9</td> <td>**Claims are independent of claims on original patent</td> </tr> <tr> <td>110</td> <td>48</td> <td>210</td> <td>9</td> <td>**Reissue claims in excess of 20 and over original patent</td> </tr> <tr> <td colspan="5">SUBTOTAL (2) (\$) 179.00</td> </tr> </tbody> </table>		Total Claims	Extra Claims	Fee form below	Fee Paid	31	20**	11	99	Independent Claims	5	2	80	Multiple Dependent				Large Entity	Small Entity	Fee	Fee	Fee Description	Code	(\$)	Code	(\$)		103	48	203	9	Claims in excess of 20	102	8	202	4	Independent claims in excess of 5	104	270	204	135	Multiple dependent claim, if not paid	105	8	205	9	**Claims are independent of claims on original patent	110	48	210	9	**Reissue claims in excess of 20 and over original patent	SUBTOTAL (2) (\$) 179.00																																																																																																																																																				
Large Entity	Small Entity	Fee	Fee	Fee Description	Fee Paid																																																																																																																																																																																																																																																						
Code	(\$)	Code	(\$)																																																																																																																																																																																																																																																								
101	710	201	355	Utility filing fee	355																																																																																																																																																																																																																																																						
106	320	206	160	Designing filing fee																																																																																																																																																																																																																																																							
107	490	207	245	Plant filing fee																																																																																																																																																																																																																																																							
108	710	208	355	Reissue filing fee																																																																																																																																																																																																																																																							
114	150	214	75	Provisional filing fee																																																																																																																																																																																																																																																							
SUBTOTAL (1)					(\$) 355																																																																																																																																																																																																																																																						
Total Claims	Extra Claims	Fee form below	Fee Paid																																																																																																																																																																																																																																																								
31	20**	11	99																																																																																																																																																																																																																																																								
Independent Claims	5	2	80																																																																																																																																																																																																																																																								
Multiple Dependent																																																																																																																																																																																																																																																											
Large Entity	Small Entity	Fee	Fee	Fee Description																																																																																																																																																																																																																																																							
Code	(\$)	Code	(\$)																																																																																																																																																																																																																																																								
103	48	203	9	Claims in excess of 20																																																																																																																																																																																																																																																							
102	8	202	4	Independent claims in excess of 5																																																																																																																																																																																																																																																							
104	270	204	135	Multiple dependent claim, if not paid																																																																																																																																																																																																																																																							
105	8	205	9	**Claims are independent of claims on original patent																																																																																																																																																																																																																																																							
110	48	210	9	**Reissue claims in excess of 20 and over original patent																																																																																																																																																																																																																																																							
SUBTOTAL (2) (\$) 179.00																																																																																																																																																																																																																																																											

<b>SUBMITTED BY</b> Name (Print Type) Stephen R. May		Registration No (Attorney Agent) 29,255		Telephone (509) 375-2387	
---	--	---	--	--------------------------	--

EXPRESS MAIL MAILING LABEL #EJ200815200US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

ByeongMoon Jecng and  
Anna Gutowska

For: THERMOGELLING BIODEGRADABLE  
AQUEOUS POLYMER SOLUTION

Our Ref. No: B-1537

Date: April 11, 2001

CERTIFICATE OF MAILING

Box PATENT APPLICATION  
Commissioner of Patents and Trademarks  
Washington, DC 20231

Dear Sir:

The undersigned hereby certifies that the attached:

- [ X ] Patent Application of 43 pages, and
- [ X ] Drawings of 13 Sheets
- [ X ] Fee Transmittal (2 ea.)
- [ X ] Patent Transmittal
- [ X ] Assignment / Cvr. Sheet
- [ X ] Combined Declaration and Power of Attorney
- [   ] Information Disclosure
- [   ] with attachments

are being deposited with the United States Postal Service as:

[   ] First Class Mail

[ X ] Express Mail - Label #EJ200815200US

in an envelope addressed to the Commissioner of Patents and  
Trademarks, Washington, D.C. 20231, on the date set forth  
below.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date Deposited

Janice K. Laybourn K1-53  
Intellectual Property Services